

UTAH DIVISION OF SECURITIES STATISTICS

<u>Enforcement</u>	<u>FY 95</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>	<u>FY 99</u>	<u>FY 00</u>
Complaints Received	244	233	161	183	206	106
Cases Opened	124	82	86	102	136	112
Cases Closed	137	45	77	103	160	66
Administrative Cases						
Orders to Show Cause	1	2	2	5	15	25
Cease and Desist Orders	18	1	0	6	5	11
Stipulated Settlements	16	8	8	11	18	22
Denials and Revocations	4	3	7	31	3	14
Civil Cases						
Lawsuits filed	0	0	2	0	0	1
Judgements	0	0	1	0	1	0
Criminal Cases						
Criminal Charges Filed	7	10	18	18	24	50
Convictions	5	3	6	16	23	28
Audits	19	35	40	44	31	20
Fines Paid	\$128,056	\$140,465	\$128,850	\$201,650	\$181,026	\$241,200
Funds Recovered or Ordered	#	\$2,089,034	\$3,818,226	\$3,155,659	\$11,467,399	\$4,256,132

<u>Licenses</u>	<u>FY 95</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>	<u>FY 99</u>	<u>FY 00</u>
Broker-Dealers	1,257	1,337	1,465	1,641	1,703	1,878
Broker-Dealer Agents	39,987	48,534	57,353	65,838	70,482	84,623
Investment Advisers	427	475	102	121	116	121
Federal Covered Advisers	@	@	253	425	428	456
I/A Representatives	3,817	4,484	5,164	3,326	1,953	1,683
Certified Dealers	n/a	19	16	14	19	21
Certified Dealer Agents	n/a	94	86	79	88	82
Issuer Agents	n/a	84	87	93	107	130
Total	45,480	55,028	64,635	71,496	74,902	88,994

<u>Securities Filings</u>	<u>FY 95</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>	<u>FY 99</u>	<u>FY 00</u>
Registrations						
Coordination	417	391	290	212	134	148
Qualification	2	2	3	9	5	8
Exemptions	474	489	321	281	223	191
Opinion/No-Action Letters	15	12	14	8	12	6
Mutual Funds	3,126	3,286	3,610	3,942	3,951	4,215
Rule 506	*	*	149	281	327	508
Total	4,034	4,180	4,387	4,733	4,652	5,076

These figures were not maintained until FY 96.

@ Prior to FY97, federal covered advisers were investment advisers.

* Prior to FY 97, rule 506 filings were counted under exemptions.